

# **Alabama Law Enforcement Agency**



## **Functional Analysis & Records Disposition Authority**

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# **Functional and Organizational Analysis of the Alabama Law Enforcement Agency**

## **Sources of Information**

- Alabama Act 2013-67
- Code of Alabama 1975 § 36-33-1 and § 36-33-2
- Code of Alabama 1975 § 32-2-20 through § 32-2-26
- Code of Alabama 1975 § 33-5-4
- Code of Alabama 1975 § 41-9-590 through § 41-9-603
- Code of Alabama 1975 § 31-9A-5
- Code of Alabama 1975 § 40-2-10
- Representatives of the Alabama Criminal Justice Information Center
- Code of Alabama 1975 § 41-9-590 through § 41-9-649
- Code of Alabama 1975 § 41-20-1 through § 41-20-16 (Sunset Law)
- Alabama Administrative Code Chapter 265-X-1 to 265-X-3
- Alabama Government Manual (2006), p. 184
- Code of Alabama 1975 Title 32
- Alabama Administrative Code Chapter 760
- Code of Federal Regulations, Title 28
- Alabama Government Manual (1994)
- Government Records Division, State Agency Files (1985-ongoing)
- Government Records Division, Agency History
- Holdings of the Department of Archives and History for the Department of Public Safety
- Department of Public Safety Records Schedules
- Department of Public Safety Audit Report for October 1, 1993 through September 30, 1997

## **Historical Context**

The Alabama Law Enforcement Agency (ALEA) was created by Act 2013-67 and represents the consolidation and realignment of 12 state law enforcement agencies/functions into one entity. ALEA is responsible for the functions and missions of the previous Alabama Department of Homeland Security, Department of Public Safety, Alabama Bureau of Investigation, Fusion Center, Criminal Justice Information Center, Marine Police, Alcoholic Beverage Control Board Enforcement Division, Department of Revenue Enforcement, Forestry Commission Investigations, Agriculture and Industry Investigations, Public Service Commission Enforcement, and Computer Forensic Laboratories.

## **Agency Organization**

The Alabama Law Enforcement Agency (ALEA) is headed by a Secretary, who is appointed by the Governor. The Secretary of the Alabama Law Enforcement Agency serves as the appointing authority and executive head of the agency and the appointing authority and department head of

the Department of Public Safety and State Bureau of Investigations. The Department of Public Safety and State Bureau of Investigations are the two functioning departments under the Alabama Law Enforcement Agency. The divisions created under the Department of Public Safety are Protective Services Unit, Highway Patrol Division, and Marine Patrol Division. The divisions created under the State Bureau of Investigations are the Alabama Justice Information Center and the Enforcement Units of the Alabama Alcoholic Beverage Control Board, Alabama Forestry Commission, and Department of Agriculture and Industries.

## Agency Function and Subfunctions

The mandated function of the Alabama Law Enforcement Agency is to coordinate various law enforcement and investigative services and to serve as the Homeland Security Advisor for Alabama. The agency will serve as the primary source of law enforcement and investigative services within the state of Alabama.

In the performance of its mandated function, ALEA may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Alabama State Law Enforcement Agency was created within the Executive Branch of Government to coordinate public safety in the state. This includes taking over the responsibilities of promulgating rules and regulations and transferring functions of the State Bureau of Investigations, Alabama Department of Homeland Security, the Department of Public Safety, and Criminal Justice Information Center to the Secretary of the Alabama State Law Enforcement Agency (Alabama Act 2013-67).
- **Enforcing Laws, Arresting, and Detaining.** ALEA is responsible for executing laws, detaining persons accused of crimes, and suppressing insurrection.

The department's activities relating to enforcing laws involve patrolling the highways of the state. Troopers write warnings or citations for violations of traffic laws (the most common being speeding, driving under the influence of alcohol, driving without a license or with a revoked/suspended license, using improper tag, not implementing proper child restraint, and violating seat belt laws) and arrest serious violators when applicable. The agency is also responsible for commercial motor vehicle law enforcement, which includes weighing trucks at selected sites across the state and conducting inspections.

The agency's personnel also coordinate all protection details for public officials of the state and certain other persons, in addition to directing traffic at some large sporting and other special events.

Staff members provide investigative, intelligence, and analytical support to local, state, and federal agencies in enforcing the state and federal controlled substance acts and related laws. The Federal Office of National Drug Control Policy declared the states of Alabama, Mississippi, and Louisiana a high intensity drug trafficking area because the three states serve as a gateway for drugs entering the United States through seven deep-water ports and thousands of miles of un-patrolled coastlines and waterways. Several

major highway systems and a multitude of commercial and private airports serve as transit or staging zones for drugs destined for other areas. Violent drug trafficking groups have developed markets in these states and have created significant drug distribution networks leading to drug-related crimes and social problems. The Alabama high intensity drug trafficking area includes Baldwin, Jefferson, Mobile, and Montgomery counties. The department, in conjunction with local, state, and federal agencies focuses on decreasing the supply of illegal drugs and related crimes while coordinating demand reduction strategies.

In conjunction with local law enforcement agencies and the Alabama National Guard, ALEA also strives to eradicate the illegal creation and production of drugs within the state, especially marijuana. Eradication teams consisting of the State Bureau of Investigation (SBI) narcotic operations agents, the ALEA Aviation unit, and Alabama National Guard helicopters and flight crews fly over each county at least twice during the growing season and more often as needed. Ground support is provided by National Guard members and local law enforcement officers.

ALEA employs agents of the State Bureau of Investigations who, when duly appointed, have the powers of peace officers in Alabama and may exercise such powers anywhere within the state. The Bureau has designated enforcement units, which enforce laws related to narcotics, alcohol and tobacco control, forestry, and agriculture and industry.

Any employees of the agency designated in writing by the commissioner as peace officers have unlimited police power to enforce revenue laws relating to the administration and enforcement of licensing and registration of motor vehicles, gasoline tax, tax on motor fuels, and tobacco tax (Code of Alabama 1975 § 40-2-10).

Coordinating the transfer of excess military equipment to federal, state, county, and local law enforcement agencies enforcing counter-drug laws in Alabama is ALEA's responsibility.

Staff also implement the issuing, handling, and recording of marine vessel registration. Activities in registration include, but are not limited to, identifying numbers, receiving and accounting of all registration fees and payments of same into the State Treasury, receiving and recording accident reports, and making reports of accidents to federal agencies as may be required by federal law.

- **Investigating.** The Alabama Bureau of Investigation (ABI) is the investigative arm of the department. It provides investigative assistance to municipal, county, state, federal, and foreign law enforcement agencies. The department is responsible for the identification, infiltration, investigation, and prosecution of individuals, career criminals, and organizations devoted to criminal enterprises or violent crimes in Alabama. In addition to field investigations of violent crimes and narcotic violations, ABI assists in crime scene searches; recovery and identification of latent fingerprints; polygraph examinations; and the maintenance, dissemination, and analysis of criminal history information. The department also conducts background checks of state trooper applicants,

and other law enforcement and state merit and non-merit applicants in state government upon request.

The department's Technical Services Team (TST) is responsible for providing electronic surveillance and explosive ordinance disposal support to the department and any agencies lacking this expertise. TST personnel provide this support through the utilization of sophisticated electronic surveillance equipment, remote controlled robots, and specialized canine support.

The Traffic Homicide Unit investigates automobile crashes in which criminal charges of a surviving driver are indicated. Many of the cases involve intoxicated drivers who cause death or serious injury. Local district attorneys prosecute the cases with the assistance of the primary investigating officer.

The department employs agents of the State Bureau of Investigations, whose agents, when duly appointed, have the powers of peace officers in Alabama and may exercise such powers anywhere within the state. The Bureau investigates crimes related to major crimes and rural crimes, narcotics, alcohol and tobacco control, forestry-related laws, and regulations related to agriculture and industry.

- **Collecting, Analyzing, and Providing Information.** The Criminal Justice Information Services (CJIS) of the Information Bureau collects, evaluates, collates, reports, and disseminates criminal intelligence data received from numerous sources. CJIS coordinates the indexing of case data into the mainframe computer located in CJIS and personal computers located throughout SBI and the other divisions. Reports are filed via computer, providing the prompt documentation necessary for the effective storage, retrieval, and sharing of information. CJIS functions as the department's link with the Gulf States Initiative, with computerized networking of Alabama, Georgia, Mississippi, and Louisiana for collecting and sharing information on narcotic trafficking. This enhances the automation of current data in CJIS, as well as future data generated by the agency.

The Alabama Intelligence Network (AIN), funded by the Alabama Department of Economic and Community Affairs (ADECA) and coordinated through CJIS, is an effective intelligence gathering program available to all law enforcement agencies. AIN has improved communication, coordination, analysis, and exchange of narcotic and crime-related information among the local drug task forces funded by ADECA and is the first operation utilizing this concept in the United States.

The CJIS also functions as the state's repository for information on children and other persons missing in Alabama and other states. Staff members work with national and state agencies to provide resources to locate and recover missing children and assist in identifying living and deceased persons.

The agency contributes to the national Fatality Analysis Reporting System (FARS), by reporting information on all fatal car crashes occurring on Alabama roadways. Alabama

is part of the FARS network, along with all other states, the District of Columbia, and Puerto Rico.

The INTERPOL Liaison Network coordinates international law enforcement case information and requests for investigative assistance, and facilitates requests among network members, federal law enforcement organizations, and foreign countries. The point of contact in Alabama for this liaison network is the SBI.

The agency maintains fingerprint files on persons arrested in Alabama and maintains repeat offender files and arrest dispositions, classifies fingerprint cards, and provides criminal history information to law enforcement agencies throughout the nation. Approximately 300 arresting and judicial agencies in Alabama submit criminal history information to the department.

The agency provides expert computer forensic analysis, consultation, and support to the criminal justice community in prosecuting offenders. Services performed may include recovery of potential evidence from digital media, cellular phones, and personal data assistants (PDA); consultation regarding the preparation, planning, and execution of search warrants involving digital evidence and other legal issues of digital evidence; expert testimony; and related prosecution assistance.

The agency processes crime scene evidence for latent fingerprints and compares these prints with prints of individuals who may have been at the scene of the crime.

The Code of Alabama 1975 § 41-9-621 mandates the center to develop, operate, and maintain an information system which will assist in the collection, storage, retrieval, analysis, and dissemination of all crime and offender data. The center's current communication network consists of a computer-operated telecommunications system connecting approximately seven hundred terminals and seventeen regional computer centers throughout the state. The center maintains several computerized databases of criminal information.

In accordance with the Code of Alabama 1975 § 41-9-621(4), the center is responsible for compiling and publishing periodic statistics on the nature and extent of crime in Alabama. All statistical information is distributed to the governor, the legislature, the judiciary, and other governmental agencies whose primary responsibilities include the planning, development, or execution of crime reduction programs. Currently, the center publishes annually three statistical reports: Crime in Alabama, Domestic Crime, and Juvenile Victims of Violent Crime. In addition, the agency may produce other analytical reports or ad hoc reports requested by law enforcement agencies, legislators, or the media.

The Code of Alabama § 41-9-621(3) mandates the center to "offer assistance and instruction to all criminal justice agencies in establishing efficient systems for information management." Staff members of ACJIC routinely provide policy and technical training to all criminal justice agencies in the use of CJIC's Law Enforcement

Data System (LEDS), the National Crime Information Center (NCIC), the National Law Enforcement Telecommunication System (NLETS) and other related programs. ACJIC's technical assistants are assigned to and reside within multicounty areas of the state where they make daily contact to assist users in resolving crime and system related problems.

The Code of Alabama § 41-9-643 mandates the center to make a person's criminal records available for inspection to this person or his/her attorney upon written application and payment of an administrative fee to the commission. If an individual believes such information to be inaccurate or incomplete, he/she may challenge the center. All documentation concerning the challenged records is then forwarded by the center to the original agency having custody of the specific records. If the original agency declines to purge, modify, or supplement the challenged records or the individual believes the agency's decision to be unsatisfactory, the person may appeal to the center for a hearing. The center may rule to correct the records. Otherwise, the individual may appeal to a circuit court.

- **Training Law Enforcement Personnel.** The agency provides training for law enforcement personnel of the department and for other law enforcement and government agencies at its Criminal Justice Training Center in Selma. The center provides in-service training to all of the department's arresting officers following curricula developed by the Training and Career Development Board. Topics include advanced firearm training, legal issues update, and defensive/highway response driver training.

The center also offers courses in field sobriety testing, breath-testing instrument training, traffic homicide investigation, highway response, Horizontal Gaze Nystagmus training (technique that assists in identification of drivers under the influence of alcohol), juvenile probation officer training, defensive tactics, field training, officer retraining, Stinger road spike training, Peace Officer's Standards and Training Commission (POSTC) physical ability/agility training, training of trainers, EVOC training, Incident/Offense arrest report school, special operations, case management, state government orientation seminar, commercial driver license (CDL) certification, accident reconstruction, Honor Guard retraining, highway interdiction, polygraph school, junior police academy, and SWAT training.

The training center also manages the Criminal Justice Training Library. The library assists law enforcement agencies in meeting training needs by lending films, videos, and books and by researching law enforcement related questions. Colleges, professional educational and training programs, high schools and elementary schools, and the public also use the library.

- **Building Public Awareness.** The agency provides information to the public, media, and law enforcement concerning departmental operations and all aspects of law enforcement and traffic safety and conducts safety programs and campaigns through the Law Enforcement Support Unit's Public Information/Outreach unit. The department creates a newsletter, "The Blue Light," and provides audio and videotape production, duplication, and enhancement services for other police agencies upon request.



- **Licensing.** ALEA licenses commercial and noncommercial drivers in the state. Licenses are available for commercial vehicles, automobiles, motorcycles, and boats. Applicants for commercial vehicles and automobile licenses must pass a written examination as well as a basic skills and driving test. Applicants for a motorcycle or boater license need only pass a written test. Licenses must be renewed every four years. License examiners administer the examinations and collect applicable fees. The probate judge's office in each county assists in administering renewals.

Licenses can be suspended, disqualified, and revoked. In some instances, a license may be suspended for medical reasons after the review of a driver's medical history. A hearing officer hears appeals of suspensions and revocations of licenses as well as refusals to issue a license. After careful review of the hearing file, the chief hearing officer or designated reviewer makes the final determination based upon statutory law.

Drivers involved in accidents with property damage in excess of \$500 must fill out an accident report and mail it to the department. Information is entered from the report (SR-13) into the Financial Responsibility Information System (FRIS), along with information regarding who was at fault. If an individual is held responsible for damages, proof of payment must be shown. If payment is not made, FRIS will suspend the license of the responsible party. In some instances, the matter goes before a judge who issues a judgement.

- **Analyzing, Planning, and Coordinating Homeland Security.** Provisions of the Code of Alabama 1975 § 31-9A mandate the agency to receive intelligence information from federal authorities relating to homeland security and then disseminate and exchange such information among state/local agencies and private entities responsible for homeland security.

The agency is also obligated to “prepare a comprehensive plan and program for homeland security.” In addition, the agency assists in planning and executing exercises and simulations designed to test those systems that would be utilized in response to a terrorist threat/attack. Activities associated with this subfunction may include the following four categories: (1) Emergency Preparedness – works closely with the Alabama Department of Emergency Management to oversee emergency preparedness related activities; (2) Intelligence Analysis and Infrastructure Protection – develops intelligence analysis programs to analyze information with respect to threats of terrorist acts and establish a cooperative relationship with the appropriate state/local agencies and private corporations for infrastructure protection; (3) Borders, Ports, and Transportation – works with federal, state, and local agencies to develop and implement plans for the protection of borders, ports, and other transportation systems; and (4) Science and Technological Development – organizes the scientific and technological resources of the state to prevent or mitigate the effects of catastrophic terrorism against the state or the nation.

In addition, the Code of Alabama 1975 § 31-9A-9 authorizes the agency to enforce all laws, rules, and regulations relating to homeland security and direct state resource

allocations during an emergency and the subsequent recovery period. In discharging its responsibilities in times of emergency, the agency may sell, lend, lease, give, transfer, or deliver materials or perform services for homeland security. In coordination with other agencies, the agency may assist in the quarantine of persons, animals, plants, fruits, or food products and in the control of traffic for movement of people, troops, vehicles, and materials over highways and streets.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

**Managing the Agency:** Activities involved in managing the agency may include internal office management activities, such as corresponding and communicating; scheduling, meeting; creating policies and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities, leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Law Enforcement Agency**

## **Agency Record Keeping System**

The Agency operates a hybrid system composed of computer systems, microfilm, and paper record keeping.

**Computer Systems:** The Agency's programming staff members maintain a variety of software supporting activities, such as driver license issuance, driver improvement functions, safety responsibility actions, commercial driver automated testing, and applicant processing. The department also provides electronic driver license information to law enforcement agencies throughout Alabama and the nation. The Unified Network Interface system allows driver's license personnel and motor carrier inspection staff to access commercial driver information through a national link and provides an effective exchange of citation and driver history.

The computer system includes mainframe applications which interface essential services with the Finance Department. Information is also provided for other state functions, including voter registration, risk management, revenue, human resources, education, conservation, criminal justice, and the state courts.

The Agency's Information Systems Unit provides support for local area networks, including an optical imaging network that enables License Services to manage all medical records. The unit maintains and supports several operating systems, including minicomputers, laptop computers, personal computers with printer, hand-held pin-based computers, mainframe terminals, mainframe printers, and terminal controllers. These systems are set up for department facilities across the state.

The Alabama Fingerprint Identification System (AFIS) is a computer system that analyzes, stores, matches, and retrieves fingerprint images and the matching features of images. AFIS increases the ability to identify suspects quickly and provides efficient management of more than 640,000 fingerprint cards. After a crime occurs, a latent fingerprint recovered from the crime scene is electronically scanned into the AFIS computer, where it is compared with approximately 5.2 million fingerprint images. The result of the scan is verified by a certified latent print examiner to confirm any identification.

**Microfilm:** The agency utilized an in-house microfilm operation to store old records prior to receiving scanning equipment. Some paper records are destroyed after verification of the microfilm or scanning.

**Paper-based System:** The agency continues to maintain many of its records in paper form.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the agency: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the department are discussed below.

- **Special Inquiry Investigation Records and Death Investigations Case Files.** These files are created in the course of an investigation dealing with a death or other special case, such as shootings involving law enforcement personnel. The case files are scanned upon final disposition in court or due to the case being unsolved. The investigation records and case files are retained 80 years due to the possibility that new leads may be developed on a cold or unresolved case, the use of DNA to show innocence, and the possibility of historical value. After the retention period has expired, the records should be examined for possible historical value by the Department of Archives and History prior to destruction. Historical cases would include high profile investigations.
- **Criminal Case Files (not death or special).** Criminal Case Files are created in the course of an investigation of a crime. Older cases are also on microfiche. Newer cases are in an automated digital database. The paper copies are maintained until final judicial action because it is sometimes necessary to go back to the paper file. The microfiche and automated records are maintained 80 years.
- **Basic Police Training Records.** These records are created during the course of an officer's training and document the training received and the officer's performance. The records are necessary for 75 years in the event the qualifications of an attendee are questioned.
- **Class Rosters, Class Books, Training Records, Trooper Recruit Training Files, and Veterans Administration Student Files.** These records document the activities of the agency regarding recruiting and training. They are summarized in the annual report of the agency and are recommended for 75-year retention in the event the qualifications of an attendee are questioned.
- **Court Judgments.** When a driver is liable for damages and does not settle, the other party may resort to filing a claim against the liable individual. The court will issue a judgement that sets out the liability and conditions. If the conditions are not met, the agency will suspend the license of the liable party. The judgments are necessary for thirty years in case of default, appeal, or the issuance of a new judgment.
- **Driver License/Non-Driver Identification Files.** These files are created when someone applies for a driver license or a non-driver identification. Records in the file may include the application with examination score, accident reports, school dropout notifications, court corrections, insurance changes, correspondence, and deposit of security. The paper

is maintained on open shelves for three to five years and then destroyed after verification of the microfilm, which is recommended to be retained 85 years because of the DUI law, which allows an individual charged with a DUI to have access to his/her driver records. The agency will attempt to decrease this retention for the majority of the files.

- **Driver License/Non-Driver Identification Index (database).** When the agency receives records that are part of the Driver License/Non-Driver Identification Files, certain information is typed from the record into the Driver License/Non-Driver Identification Index database. The records are grouped into batches as they are received. The records in the batches are each given a number that is also entered into the index for the driver record. This same number is used when the records are eventually microfilmed. The number is displayed on the computer screen when a record is accessed. Staff can use the number to go back to the microfilm to see the actual record instead of just the information that was taken off of the record and entered into the index. Because the index is necessary to access the files on microfilm, it is recommended to be retained 85 years, the same as the files it indexes.
- **Records of Drug/Alcohol/Psychological Medical Problems.** These records are created when a driver has long-term medical problems that may affect his/her ability to drive. The agency may suspend an individual's driver license for medical reasons until the individual is deemed able to drive by a medical professional and the agency. For medical problems associated with drugs, alcohol, and psychological problems, the driver may be allowed to drive with the obligation to take certain medication or refrain from certain activities. Violation of these conditions could result in liability charges. Because the conditions of reinstatement affect the entire career of a driver, it is necessary to maintain these records 85 years.

**II. Permanent Records.** The Archives Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Legislative Files.** These files document the agency's attempts to affect legislation before the legislature regarding public safety. The files may include correspondence, drafts of legislation, comments on proposed legislation, and requests for legislation. The files are necessary to document actions taken by the agency to try and change/maintain laws affecting the safety of the public and how the agency and state ensure public safety. **(Bibliographic Title: Legislative Files)**
- **Agency Policies and Procedures.** The agency's policies and procedures document how the agency interacts with the public. These policies and procedures are based in part on the agency's administrative code entry. **(Bibliographic Title: State Publications)**
- **Division Head Policy Records.** These records document any policies created by division heads that are not included in the administrative code or in the agency's policies and procedures. Often, the ideas in the division head policies evolve into agency policy.

These records document the evolution of policies. **(Bibliographic Title: Division Head Policies)**

- **Register of Administrative Procedures Rule Filings.** The agency shall have an officer designated as its secretary and shall file in the office of the secretary of the agency a certified copy of each rule adopted by it, including all rules, as defined in this chapter, existing on October 1, 1981. Each rule or regulation promulgated, whether the original or a revision, and all copies thereof, shall have the name or names of the author or authors, respectively, on its face. The secretary of the agency shall keep a permanent register of the rules open to public inspection (Code of Alabama 1975 § 41-22-6). **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Law Enforcement Agency)**
- **Meeting Agendas, Minutes, and Packets of the Alabama Criminal Justice Information Services.** The commission is required by the Code of Alabama 1975 § 41-9-593 to hold a minimum of four regular meetings each year in the months of January, April, July, and October. The meeting agendas, minutes, and packets of these meetings are necessary to document the actions of the commission and its members. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Alabama Criminal Justice Information Center Commission)**

## **Enforcing Laws, Arresting, and Detaining**

- **Notices of Mandatory Evacuation.** In the event of a declared emergency, the agency may require individuals to evacuate an area. These records document the instances of mandatory evacuation and are necessary to document the state's use of police power when dealing with the public. **(Bibliographic Title: Mandatory Evacuation Notices)**

## **Collecting and Analyzing Information**

- **Accident Statistical Summaries.** The summaries analyze accidents in Alabama. Different summaries cover diverse geographical groupings, such as statewide, rural statewide, rural part of each county, and larger cities. **(Bibliographic Title: State Publications)**
- **Fatality Listings.** These cards filed by county and logbooks with entries by date give information about each fatality, the accident, and the report number. Beginning in 1991, this information is also maintained on computer. **(Bibliographic Title: Fatality Listings)**
- **Crime Statistical Publications.** These summaries compile crime statistics and provide a summary form of this data. **(Bibliographic Title: State Publications)**
- **Law Enforcement Officers Handbook.** The handbook provides you with an understanding of the situations, problems, and conflicts faced by law enforcement officers. It reveals much about the role of law enforcement officers. **(Bibliographic Title: State Publications)**

- **Alabama Law Enforcement Directory.** This is a directory of organizations that are doing work applicable to law enforcement in Alabama. **(Bibliographic Title: State Publications)**

## **Training Law Enforcement Personnel**

- **Yearbooks.** The yearbooks are created for the training center. They document attendees and activities. The yearbooks provide summary information on the attendees and the training center. **(Bibliographic Title: Yearbooks)**

## **Building Public Awareness**

- **Alabama Accident Summary Files.** These files are comprised of rural and statewide traffic accident statistics maintained for reference and in responding to the public, media, agency personnel, and other requests for information. **(Bibliographic Title: State Publications)**
- **Annual Reports.** The annual reports are summary documentation of the activities of the agency. **(Bibliographic Title: State Publications)**
- **DUI/Arrest/Seat Belt Statistics.** These files contain statistics maintained for reference and in responding to the public, media, agency personnel, and other agency requests for information. **(Bibliographic Title: Statistical Reference Files)**
- **News Releases.** These records consist of news releases of the agency for purposes of recruitment and publicity. They provide useful information documenting the activities of the agency. **(Bibliographic Title: State Publications)**
- **Publications.** These records are created to build public awareness about a variety of issues and agency related activities. The publications are necessary to document what the agency tells the public and how the agency views itself. **(Bibliographic Title: Publications)**
- **Speeches/Photographs.** These records document what the agency says to the public in speeches, official activities of the agency, and major events where the agency is present such as incidents in the 1960s. **(Bibliographic Title: Speeches: Photographs)**
- **Secretary's Award Files.** The agency gives out awards to members of the agency and of the public to recognize meritorious service to the agency and/or the state. The records of the awards are necessary to document the meritorious actions by people of the state and the agency's reactions to such actions. **(Bibliographic Title: Secretary's Award Files)**

## **Analyzing, Planning, and Coordinating Homeland Security**

- **Homeland Security Task Force Meeting Agendas, Minutes, and Packets.** In accordance with the Code of Alabama 1975 § 31-9A-12, a Homeland Security Task

Force was organized in 2003 with more than 23 members selected from state/local government entities and the judicial branch of government. At the call of the governor, the task force is required to meet at least twice a year for the purpose of advising the department on “the comprehensive plan and program for homeland security and other matters as determined by majority vote of the task force.” In addition to minutes, this series includes meeting agendas and other supporting or reference documents. These records should be preserved as the core documentation of the task force. **(Bibliographic Title: Meeting Minutes)**

- **Homeland Security Program Policies, Directives, and Initiatives.** This series documents official policies, procedures, directives, initiatives, and other issuances that establish courses of actions for various homeland security programs, such as the Metropolitan Medical Response Plan; Agroterrorism; Interoperable Communications; Ports, Borders, and Transportation Protection; Infrastructure Protection; 911 coordination; Immigration Control; and Buffer Zone Protection Plan. These program policies, directives, and initiatives comprise the comprehensive plan documenting the agency’s authorities, responsibilities, and working relationships with federal, state, and local governments or private entities. **(Bibliographic Title: Policies and Procedures)**
- **State Homeland Security Quarterly Reports.** As required by the Code of Alabama 1975 § 31-9A-15(d), the Department of Homeland Security reports quarterly, to the Joint Legislative Committee on Homeland Security Oversight regarding the receipt and disbursement of federal grant funds for the state’s homeland security. A typical report provides information on the total amount of federal grant funds received, breakdown of priorities based on federal guidelines, state/local allocations, updates on grant disbursement, and detailed descriptions of funding purposes for each homeland security program. This series should be preserved as the core documentation of the agency’s function. **(Bibliographic Title: Quarterly Reports)**

## **Administering Internal Operations**

- **Administrative Correspondence of the Agency.** These records, which include official correspondence of the agency and not correspondence dealing with routine matters, document actions and positions of the agency. They are necessary for documenting numerous aspects of law enforcement, especially those actions that become precedent. **(Bibliographic Title: Correspondence)**
- **Planning Files.** These records are created for strategic planning purposes. The files show how the agency plans to implement its mandate and are necessary to document the agency planning process, plans, and the resulting actions. **(Bibliographic Title: Planning Files)**
- **Agency Internal Policy and Procedure Records.** These records document the internal procedures and policies of the agency, as opposed to the policies governing the public. Such internal policies would include taking leave, filing for per diem, use of firearms, etc. **(Bibliographic Title: Policies and Procedures)**



- **State and Federal Civil Case Files.** These case files document the legal actions taken against and/or on behalf of the agency. They document civil cases that actually make it to court. **(Bibliographic Title: Civil Case Files)**
- **Website(s) and Social Media Sites(s).** The agency has a website at [www.alea.gov](http://www.alea.gov). Information on the website includes board of bar commissioners, news releases, rules and regulations, staff directory, searchable bar membership directory, various programs and services, online publications, statistics, and forms. ADAH staff capture and preserve the agency's website(s) and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind a password protected page or login would not be captured by ADAH. Check with the ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media site(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included. **(Bibliographic Title: Website(s) and Social Media Sites)**

# **Permanent Records List**

## **Alabama Law Enforcement Agency**

### **Promulgating Rules and Regulations**

1. Legislative Files
2. Agency Policies and Procedures
3. Division Head Policy Records
4. Register of Administrative Procedures Rule Filings
5. Meeting Agendas, Minutes, and Packets of the Alabama Criminal Justice Information Services

### **Enforcing Laws, Arresting, and Detaining**

1. Notices of Mandatory Evacuation

### **Collecting and Analyzing Information**

1. Accident Statistical Summaries
2. Fatality Listings
3. Crime Statistical Publications
4. Law Enforcement Officers Handbook
5. Alabama Law Enforcement Directory

### **Training Law Enforcement Personnel**

1. Yearbooks

### **Building Public Awareness**

1. Alabama Accident Summary Files
2. Annual Reports
3. DUI/Arrest/ Seat Belt Statistics
4. News Releases
5. Publications
6. Speeches/Photographs
7. Secretary's Award Files

### **Analyzing, Planning, and Coordinating Homeland Security**

1. Homeland Security Task Force Meeting Agendas, Minutes, and Packets
2. Homeland Security Program Policies, Directives, and Initiatives
3. Alabama Homeland Security Quarterly Reports

## **Administering Internal Operations**

1. Administrative Correspondence of the Agency
2. Planning Files
3. Agency Internal Policy and Procedure Records
4. State and Federal Civil Case Files
5. Web Sites and Social Media Sites(s)

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **Alabama Law Enforcement Agency Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission's staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It establishes minimum retention periods and disposition instructions for those records and provides the legal authority for the Agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## **Explanation of Records Requirements**

The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the Agency. Copies of superseded schedules are no longer valid and may not be used for records disposition.

The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

Certain other record-like materials are not actually regarded as official records and may be disposed of under this RDA. Such materials include (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document agency activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, may include, but are not limited to, telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about social activities; (5) honorary materials, plaques,

awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Agency and lists the groups of records created and/or maintained as a result of activities and transactions performed in carrying out these subfunctions. The Agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular biannual meetings.

### **Promulgating Rules and Regulations**

#### **LEGISLATIVE FILES**

Disposition: PERMANENT RECORD.

#### **AGENCY POLICIES AND PROCEDURES**

Disposition: PERMANENT RECORD.

#### **DIVISION HEAD POLICY RECORDS**

Disposition: PERMANENT RECORD.

#### **REGISTER OF ADMINISTRATIVE PROCEDURES RULE FILINGS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 41-22-6).

#### **MEETING AGENDAS, MINUTES, AND PACKETS OF THE ALABAMA CRIMINAL JUSTICE INFORMATION SERVICES**

Disposition: PERMANENT RECORD.

#### **Legislative/Policy/Procedures Reference, Tracking, and Statistical Files**

Disposition: Temporary Record. Retain 3 years.

#### **Recordings of Meetings**

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

#### **Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by the Agency**

Disposition: Temporary Record. Retain 3 years.

#### **Administrative Procedures Rule Filings**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

## **Enforcing Laws, Arresting, and Detaining**

### **Executive Security Contact Lists**

Disposition: Temporary Record. Retain until superseded.

### **Security Assistance Action Reports**

Disposition: Temporary Record. Retain until verification of hours by supervisor.

### **Records of Suspension of Driving Privileges, Warning Tickets, Violations of Use of Driver License (AST-38), and Sobriety Examination Report (AST-3)**

Disposition: Temporary Record. Retain 3 years.

### **Alcohol Influence Reports**

Disposition: Temporary Record. Retain until adjudication of incident.

### **Records of Non-Traffic Arrests (AST-6) and Tickets and Failure to Appear in Court**

Disposition: Temporary Record. Retain 5 years.

### **Uniform Traffic Ticket and Complaint (UTTC) Records**

Disposition: Temporary Record. Retain 5 years.

### **Uniform Traffic Ticket and Complaint (UTTC) Transmittals (AST-40 and UTC-3)**

Disposition: Temporary Record. Retain 1 year.

### **Daily Assist Tickets**

Disposition: Temporary Record. Retain 5 years.

### **Uniform Arrest Reports (ACJIC-34)**

Disposition: Temporary Record. Retain 2 years after disposition of case.

### **Alabama Uniform Traffic Accident Reports and Truck/Bus Supplement Reports (are filed online to a database)**

Disposition: Temporary Record. Retain 3 years.

### **Reportable Accidents**

Disposition: Temporary Record. Retain 5 days.

### **Felony Awareness Patrol (FAP) Reports**

Disposition: Temporary Record. Retain 5 years.

### **Accident Logs (AST-5)**

Disposition: Temporary Record. Retain 3 years.

### **Weekend Rural Fatality Roundup Reports (AST-4)**

Disposition: Temporary Record. Retain 1 year.

**Records of Fatalities, Stolen Vehicles, and Wanted Persons (Includes DPS 23 and AST-23)**

Disposition: Temporary Record. Retain 3 years.

**Traffic Homicide Records (THI-1 through THI-8)**

Disposition: Temporary Record. Retain 5 years after disposition of case.

**Combined Accident Reduction Effort (CARE) Records**

Disposition: Temporary Record. Retain 5 years.

**Uniform Incident/Offense Reports, Supplements, and Logs (ACJIC-32 and ACJIC-33)**

Disposition: Temporary Record. Retain 5 years.

**Warrant Records**

Disposition: Temporary Record. Retain until served or recalled.

**Violation Tally Reports and Summaries now done online**

Disposition: Temporary Record. Retain 3 years.

**Daily Accident and Activity Logs and Reports (AST-20-A)**

Disposition: Temporary Record. Retain 2 years.

**Trooper Daily Activity Reports (DAR)**

Disposition: Temporary Record. Retain 1 year.

**Trooper Monthly Activity Summaries (AST-10)**

Disposition: Temporary Record. Retain 1 year.

**Daily Assignment Rosters (AST-16)**

Disposition: Temporary Record. Retain 3 years.

**Trooper El Paso Information Center (EPIC) Access Forms (CF-21)**

Disposition: Temporary Record. Retain 2 years.

**Alabama Criminal Justice Information System (ACES) Teletypes**

Disposition: Temporary Record. Retain 1 month.

**Alabama Criminal Justice Information System (ACES) Files**

Disposition: Temporary Record. Retain until related information is removed from National Criminal Information Center system.

**Highway Patrol Case Numbering Logs**

Disposition: Temporary Record. Retain 1 year.

**Use of Force Reports**

Disposition: Temporary Record. Retain 5 years.

**TACT Team Call-Out Requests**

Disposition: Temporary Record. Retain 3 years.

**Special Event Reports**

Disposition: Temporary Record. Retain 3 years.

**Confiscated/Abandoned/Stored Vehicle Records (AST-9, AST-32, AST-37, and CF-20)**

Disposition: Temporary Record. Retain 3 years.

**Motorist Assistance Records (AST-33)**

Disposition: Temporary Record. Retain 1 year.

**Radar/Radio Repair Requests and Test Scores**

Disposition: Temporary Record. Retain 3 years.

**Radar Logs (AST-19)**

Disposition: Temporary Record. Retain 5 years.

**Bomb Threat Forms (Form 16)**

Disposition: Temporary Record. Retain 3 years.

**Bomb Squad Assistance Reports**

Disposition: Temporary Record. Retain 6 years unless a death is involved, in which case retain 25 years.

**Driving and Criminal History Communication Logs (Form 18)**

Disposition: Temporary Record. Retain 3 years.

**Motor Carrier Safety Weight Reports, Inspection Reports, Weekly Reports, and Grant Files**

Disposition: Temporary Record. Retain 5 years.

**Traffic Safety Roadblock Program Reports**

Disposition: Temporary Record. Retain 3 years.

**Vehicle Checkpoint Reports (AST 8C)**

Disposition: Temporary Record. Retain 3 years.

**Consent to Search Property**

Disposition: Temporary Record. Retain 5 years.

**Abandoned Vehicle Stickers**

Disposition: Temporary Record. Retain 7 days.

**Wrecker Logs (AST-7)**

Disposition: Temporary Record. Retain 3 years.



**Wrecker Inspection and Authorization Sheets**

Disposition: Temporary Record. Retain 3 years.

**Wrecker and Wrecker Driver Information Sheets**

Disposition: Temporary Record. Retain for useful life.

**Vehicle Inspection Reports (AST-8A and AST 8C)**

Disposition: Temporary Record. Retain 3 years.

**Hazardous Road Reports (AST 45 and DPS 45)**

Disposition: Temporary Record. Retain 3 years.

**NOTICES OF MANDATORY EVACUATION**

Disposition: PERMANENT RECORD.

**Excess Property Records (demilitarized)**

Disposition: Temporary Record. Retain 5 years after return of property to the federal government.

**Implied Consent Unit Activity Reports**

Disposition: Temporary Record. Retain 2 years.

**Marine Patrol Accident Investigation Reports**

Disposition: Temporary Record. Retain 10 years.

**Records of Boating Basic Exams**

Disposition: Temporary Record Retain 50 years.

**Boat Registration Files**

Disposition: Temporary Record. Retain 3 years after end of fiscal year in which the records were created.

**Boat Registration Statistics and Monthly Reports**

Disposition: Temporary Record. Retain 3 years after end of fiscal year in which the records were created.

**Assistance to Boaters Records**

Disposition: Temporary Record. Retain 5 years.

**Marine Events Permit Application Files**

Disposition: Temporary Record. Retain 3 years.

**Boat Slip Contracts**

Disposition: Temporary Record. Retain 6 years after expiration of contract.

## **Investigating**

### **Special Inquiry Investigation Records and Death Investigations Case Files**

Disposition: Temporary Record. Retain 80 years.

### **Criminal Case Files (not death or special)**

Disposition: Temporary Record. Retain paper copy until final judicial action. Retain database copies 80 years.

## **Collecting and Analyzing Information**

### **Criminal Intelligence Database**

Disposition: Temporary Record. Retain records not related to criminal activity for 90 days. Retain records related to criminal activity for 5 years from latest date of criminal activity by individual (28 CFR Part 23).

### **Criminal Histories**

Disposition: Temporary Record. Retain 5 years after notification of death.

### **Criminal Records Fingerprint Cards and Related Court Documents**

Disposition: Temporary Record. Retain until court order is received.

### **Applicant Fingerprint Cards**

Disposition: Temporary Record. Retain 5 years after notification of death.

### **Alabama Title Files**

Disposition: Temporary Record. Retain for useful life.

### **Alabama Registration Files**

Disposition: Temporary Record. Retain 10 years.

### **Criminal Threat Assessment Reports**

Disposition: Temporary Record. Retain for useful life.

### **Adult Criminal Sex Offender Files**

Disposition: Temporary Record. Retain 25 years after last sex crime, unless offender has been convicted on more than one occasion for a criminal sex offense or convicted of a criminal sex offense involving multiple victims, in which case retain for life of offender (Code of Alabama 1975 § 15-20A-21 and § 15-20A-33).

### **Juvenile Sex Offender Files**

Disposition: Temporary Record. Retain 10 years from the last date of release. A juvenile criminal sex offender who is subsequently convicted as an adult criminal sex offender within the ten-year period is considered solely an adult criminal sex offender (Code of Alabama 1975 § 15-20A-21 and § 15-20A-33).

**Fatality Analysis Reporting System (FARS) Submission Files**

Disposition: Temporary Record. Retain 3 years.

**Crime Control and Criminal Information Center (CIC) Grants Progress Reports**

Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.

**Crime Control and Criminal Information Center (CIC) Grants Statistics**

Disposition: Temporary Record. Retain 5 years.

**ACCIDENT STATISTICAL SUMMARIES**

Disposition: PERMANENT RECORD.

**FATALITY LISTINGS**

Disposition: PERMANENT RECORD.

**License Photographs**

Disposition: Temporary Record. Retain 25 years.

**Law Enforcement Data System (LEDS) Database**

Disposition: Temporary Record. Refer to relevant record disposition in this RDA.

**Data on persons wanted, missing, and unidentified**

Disposition: Temporary Record. Retain until action is taken by the originating agency to cancel or clear the records.

**Data on vehicles stolen, abandoned, impounded, recovered, and felony**

- a. Vehicles with Vehicle Identification Number (VIN) or Owner Applied Number (OAN)  
Disposition: Temporary Record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.
- b. Vehicles without VIN or OAN  
Disposition: Temporary Record. Retain 90 days after the records were removed by the originating local agency from the database.

**Data on stolen vehicle parts and accessories**

Disposition: Temporary Record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

**Data on stolen boats and motors**

- a. Boats with Boat H Number (BHN) or Owner Applied Number (OAN)  
Disposition: Temporary Record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

- b. Boats without BHN or OAN

Disposition: Temporary Record. Retain 90 days after the records were removed by the originating local agency from the database.

**Data on stolen or lost license plates**

Disposition: Temporary Record. Retain 1 year after the end of the year in which the records were removed by the originating local agency from the database.

**Data on stolen guns**

Disposition: Temporary Record. Retain until action is taken by the originating agency to cancel or clear the records.

**Data on recovered guns**

Disposition: Temporary Record. Retain 2 years after the end of the year in which the records were removed by the originating local agency from the database.

**Data on stolen articles**

Disposition: Temporary Record. Retain 1 year after the end of the year in which the records were removed by the originating local agency from the database.

**Data on unrecovered, stolen, embezzled, or counterfeited securities**

Disposition: Temporary Record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

**Data on unrecovered, stolen, embezzled, or counterfeited traveler's checks and money orders**

Disposition: Temporary Record. Retain 2 years after the end of the year in which the records were removed by the originating local agency from the database.

**Computerized Criminal History System (CCH) Database (individual criminal files)**

Disposition: Temporary Record. Retain data on individuals for 80 years after last entry or until the death of the individual.

**Uniform Crime Reporting System (UCR) Database**

Disposition: Temporary Record. Retain information related to a criminal incident for 25 years after the end of the year in which the Crime in Alabama report is published.

**CRIME STATISTICAL PUBLICATIONS**

Disposition: PERMANENT RECORD.

**LAW ENFORCEMENT OFFICERS' HANDBOOK**

Disposition: PERMANENT RECORD.

**ALABAMA LAW ENFORCEMENT DIRECTORY**

Disposition: PERMANENT RECORD.

**National Crime Information Center (NCIC) System Operator Certification/Re-certification Examination Questions**

Disposition: Temporary Record. Retain until superseded.

**National Crime Information Center (NCIC) System Operator Certification/Re-certification Testing Results**

Disposition: Temporary Record. Retain until superseded by results of the operator's next applicable re-certification examination.

**National Crime Information Center (NCIC) System Operator Training Instruction Packets**

Disposition: Temporary Record. Retain until superseded.

**Requests to Review Criminal Records Files**

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

**Training Law Enforcement Personnel**

**Yearbook Files**

Disposition: Temporary Record. Retain 5 years.

**YEARBOOKS**

Disposition: PERMANENT RECORD. Send three copies to ADAH. Retain other copies for useful life.

**Basic Police Training Records**

Disposition: Temporary Record. Retain 75 years.

**Monthly Training Schedules**

Disposition: Temporary Record. Retain 1 year.

**Weekly Training Reports**

Disposition: Temporary Record. Retain until completion of monthly training report.

**Monthly Training Reports**

Disposition: Temporary Record. Retain 1 year.

**Quarterly Training Reports**

Disposition: Temporary Record. Retain 3 years.

**Annual Training Reports**

Disposition: Temporary Record. Retain 3 years.

**Class Rosters, Class Books, Training Records, Trooper Recruit Training Files, and Veterans Administration Student Files**

Disposition: Temporary Record. Retain 75 years.

**Course Attendance Records (Form 618 and 619)**

Disposition: Temporary Record. Retain until entered into computer.

**Building Public Awareness****ALABAMA ACCIDENT SUMMARY FILES**

Disposition: PERMANENT RECORD.

**ANNUAL REPORTS**

Disposition: PERMANENT RECORD.

**DUI/ARREST/SEAT BELT STATISTICS**

Disposition: PERMANENT RECORD.

**Artwork for Publications**

Disposition: Temporary Record. Retain for useful life.

**Biographies**

Disposition: Temporary Record. Retain for useful life.

**Blue Light Files (Publication)**

Disposition: Temporary Record. Retain for useful life.

**Honorary Certificates**

Disposition: Temporary Record. Retain 2 years.

**Chaplain Materials**

Disposition: Temporary Record. Retain until chaplain no longer provides services to the department.

**Charter and Retired Members Files**

Disposition: Temporary Record. Retain for useful life.

**Daily Reports on Rural Traffic Accidents (AST-20A)**

Disposition: Temporary Record. Retain 5 years.

**Public Information Outlines**

Disposition: Temporary Record. Retain 1 year.

**NEWS RELEASES**

Disposition: PERMANENT RECORD.

**PUBLICATIONS**

Disposition: PERMANENT RECORD.

**SPEECHES/PHOTOGRAPHS**

Disposition: PERMANENT RECORD.

**SECRETARY'S AWARD FILES**

Disposition: PERMANENT RECORD.

**Media and Retirees Databases**

Disposition: Temporary Record. Retain until superseded.

**Monthly Reports of Traffic Deaths**

Disposition: Temporary Record. Retain 5 years.

**Division Purchasing Files (PUR-10)**

Disposition: Temporary Record. Retain for useful life.

**Press Credential Files**

Disposition: Temporary Record. Retain for useful life.

**Quarterly Performance Reports**

Disposition: Temporary Record. Retain 5 years.

**Safety Education Program Requests**

Disposition: Temporary Record. Retain 1 year.

**Uniform Safety Education Workshop (USEOW) Materials**

Disposition: Temporary Record. Retain for useful life.

**Licensing****Driver License/Non-Driver Identification Files (includes applications)**

- a. Records created after 1976  
Disposition: Temporary Record. Retain 85 years.
- b. Records (microfilm) created before 1976  
Disposition: Temporary Record. Destroy.

**Driver License/Non-Driver Identification Index (database)**

Disposition: Temporary Record. Retain 85 years.

**Driver License Summary Auditor's Report**

Disposition: Temporary Record. Retain 1 year.

**Transmittal Abstracts of Driver Licenses Sold**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

**Returned Notifications of Renewals**

Disposition: Temporary Record. Retain 60 days.

**Financial Responsibility Records**

Disposition: Temporary Record. Retain 5 years.

**Court Judgments**

Disposition: Temporary Record. Retain 30 years.

**Seat Belt Convictions Submitted by Courts**

Disposition: Temporary Record. Retain for useful life.

**Records of Physical/Medical Problems**

Disposition: Temporary Record. Retain 85 years.

**Records of Drug/Alcohol/Psychological Medical Problems**

Disposition: Temporary Record. Retain 85 years.

**Driver Improvement Insurance Changes**

Disposition: Temporary Record. Retain 3 years.

**Driver Improvement School Attendance/Dropout Notifications**

Disposition: Temporary Record. Retain 4 years.

**Driver Improvement Court Corrections**

Disposition: Temporary Record. Retain 5 years.

**Accident Reports Sent to Driver Improvement and Related Correspondence**

Disposition: Temporary Record. Retain 5 years after settlement.

**License Applicant Activity Logs**

Disposition: Temporary Record. Retain until completion of annual report.

**Driver License Accounting Records**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Driver License Written Examinations (Blank)**

Disposition: Temporary Record. Retain until superseded.

**Applicants Written Examinations**

Disposition: Temporary Record. Retain until verified by applicant and score recorded on application.



**Application File Not Resulting in License**

Disposition: Temporary Record. Retain 1 year (application files resulting in license are sent into the unit and are listed separately).

**Driver License Appeal Cases**

Disposition: Temporary Record. Retain 6 months after final adjudication of the case.

**Analyzing, Planning, and Coordinating Homeland Security****HOMELAND SECURITY TASK FORCE MEETING AGENDAS, MINUTES, AND PACKETS**

Disposition: PERMANENT RECORD.

**Recordings of Meetings**

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

**HOMELAND SECURITY PROGRAM POLICIES, DIRECTIVES, AND INITIATIVES**

Disposition: PERMANENT RECORD.

**ALABAMA HOMELAND SECURITY QUARTERLY REPORTS**

Disposition: PERMANENT RECORD.

**Homeland Security Grant Project Files**

Disposition: Temporary Record. Retain 10 years.

**Administering Internal Operations: Managing the Agency****ADMINISTRATIVE CORRESPONDENCE OF THE AGENCY**

Disposition: PERMANENT RECORD.

**PLANNING FILES**

Disposition: PERMANENT RECORD.

**AGENCY INTERNAL POLICY AND PROCEDURAL RECORDS**

Disposition: PERMANENT RECORD.

**Official Bonds and Oaths**

Disposition: Temporary Record. Retain for duration of employee's tenure.

**Questionnaires/Surveys and Reports**

Disposition: Temporary Record. Retain for useful life.

**Quarterly Reports**

Disposition: Temporary Record. Retain 3 years.

**Staff Meeting Minutes and Recordings**

Disposition: Temporary Record. Retain for useful life.

**Pre-Litigation Case Files (Restricted)**

Disposition: Temporary Record. Retain 30 months.

**Internal Investigations**

Disposition: Temporary Record. Retain 25 years or 6 years after separation of employee, whichever is sooner.

**Lawsuit Investigations**

Disposition: Temporary Record. Retain 6 months after final adjudication of the case.

**Agency Inspection/Audit Reports**

Disposition: Temporary Record. Retain 1 year after subsequent audit.

**Equal Employment Opportunity Complaint Files**

Disposition: Temporary Record. Retain 1 year after audit. If action is taken, becomes a Civil Case File.

**STATE AND FEDERAL CIVIL CASE FILES**

Disposition: PERMANENT RECORD.

**Memorandum of Understanding**

Disposition: Temporary Record. Retain 2 years after termination of agreement.

**Board of Adjustment Files**

Disposition: Temporary Record. Retain 1 year after settlement.

**Telephone and Radio Logs/Records (Communications 14, DPS-4 and DPS-3)**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

**Calendars**

Disposition: Temporary Record. Retain 1 year.

**Requests for Information**

Disposition: Temporary Record. Retain 1 year after audit.

**Routine Correspondence**

Disposition: Temporary Record. Retain 3 years.

**Mailing Lists**

Disposition: Temporary Record. Retain for useful life.

**Administrative Reference Files**

Disposition: Temporary Record. Retain for useful life.

**Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)**

Disposition: Temporary Record. Retain 1 year after audit.

**Copy of RDA**

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the RDA was superseded.

**Computer systems documentation (hardware/software specifications and warranties)**

Disposition: Temporary Record. Retain documentation of former system 1 year after audit for the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

**WEBSITE(S) AND SOCIAL MEDIA SITE(S)**

Disposition: PERMANENT RECORD.

*ADAH staff capture and preserve the agency's website(s) and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind a password protected page or login would not be captured by ADAH. Check with the ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media site(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included.*

**Administering Internal Operations: Managing Finances****List of Department of Public Safety Grants**

Disposition: Temporary Record. Retain until superseded.

**Grant Files and Grant Financial Files**

Disposition: Temporary Record, Retain 6 years after submission of final expenditure report.

**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products (includes AST-1 and AST-1A)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks**

Disposition: Temporary Record. Retain 1 year after audit.

**Staff Fuel/Gas Tickets/Receipts**

Disposition: Temporary Record. Retain 3 months.

**Subsistence Reports**

Disposition: Temporary Record. Retain 1 year after audit.

**Statement of Official Per Diem Forms**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries**

Disposition: Temporary Record. Retain 1 year after audit.

**Travel Orders**

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

**Contractual records established for the purpose of services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

**Records documenting the bid process, including requests for proposals and unsuccessful responses**

- a. ORIGINAL BID RECORDS MAINTAINED IN THE PURCHASING OFFICE OF THE ALABAMA LAW ENFORCEMENT AGENCY FOR CONTRACTS OVER \$15,000  
Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 41-16-24).

- b. Duplicate copies of bid (originals are maintained by the Finance Department: Division of Purchasing)  
Disposition: Temporary Record. Retain 1 year after audit.

**Agency Audit Reports**

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

**Administering Internal Operations: Managing Human Resources**

**Records of Personnel Committees (career development, safety, personnel utilization, recruiting)**

Disposition: Temporary Record. Retain for useful life.

**Emergency Locator Cards**

Disposition: Temporary Record. Retain until separation of employee from department.

**Requests for Mandatory Leave**

Disposition: Temporary Record. Retain 1 year.

**Job Recruitment Materials (includes DPS 610, 611, 612, and 613)**

Disposition: Temporary Record. Retain 1 year after audit.

**Application Materials**

Disposition: Temporary Record. Retain 1 year.

**Position Classification Questionnaire**

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

**Position Files**

Disposition: Temporary Record, Retain 7 years.

**Certification of Eligibility for Employment**

Disposition: Temporary Record. Retain until superseded.

**Position Control Files**

Disposition: Temporary Record. Retain 1 year after audit.

**Investigation Records of Applicants Not Hired**

Disposition: Temporary Record. Retain 10 years.

**Employee Suggestions**

Disposition: Temporary Record. Retain for useful life.

**Records documenting payroll (e.g. pre-payroll reports, payroll check registers)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting payroll deductions for tax purposes (including Form 941)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting employee hours worked, leave earned, and leave taken**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting employees' daily and weekly work schedules (includes Form 14A and 14)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting leave donations**

Disposition: Temporary Record. Retain 1 year after audit.

**Records of final leave status**

Disposition: Temporary Record. Retain record of individual employee's cumulative leave 6 years after separation of employee from the agency.

**Annual and Probationary Raise Reports**

Disposition: Temporary Record. Retain 5 years.

**Records documenting an employee's work history - generally maintained as a case file (includes special orders, monthly activity reports that document compensatory time, complaint/violation reports, DPS 608, 609, 614, 616, 618, and 650A)**

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

**Monthly Activity Reports Not Documenting Compensatory Time**

Disposition: Temporary Record. Retain 1 year after audit.

**Employee Flexible Benefits Plan Files (applications and correspondence)**

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

**Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Employee Administrative Hearing Files**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Injury In-The-Line-of-Duty Files**

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency or 6 years after the case is settled, whichever is longer.

**Subpoena Logs**

Disposition: Temporary Record. Retain 1 year after audit.

**Personnel Management Copy of Personnel Hearing Case Files**

Disposition: Temporary Record. Retain 3 years after decision.

**Assignment, Training, and Promotion Orders (Policy Order 100 Records)**

Disposition: Temporary Record. Retain requests 5 years.

**Videos of Trooper Agility Tests**

Disposition: Temporary Record. Retain 5 years or until written trooper test is administered, whichever is shorter.

**Master Time Sheets**

Disposition: Temporary Record. Retain 5 years.

**Weekly/Daily Time Sheets**

Disposition: Temporary Record. Retain 1 year.

**Leave Reports**

Disposition: Temporary Record. Retain 5 years.

**Overtime and Compensatory Time Reports**

Disposition: Temporary Record. Retain 1 year after audit.

**Personnel Action Reports**

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

**Section/Division Personnel Files**

Disposition: Temporary Record. Retain until separation of an employee from the agency.

**Weekly Activity Reports**

Disposition: Temporary Record. Retain until creation of monthly activity report.

**Monthly Manpower Reports**

Disposition: Temporary Record. Retain 1 year.

**Overtime Requests and Requests for Outside Employment**

Disposition: Temporary Record. Retain 1 year after audit.

**Personnel Leave Record Print-Out Reports**

Disposition: Temporary Record. Retain for useful life.

**Departmental Training Records**

Disposition: Temporary Record. Retain 3 years.

**Administering Internal Operations: Managing Properties, Facilities, and Resources****Annual Report to United States Government of Utilization of Training Center Property**

Disposition: Temporary Record. Retain until disposition of property.

**Real Property Leasing/Rental Records**

Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

**Renovation Correspondence**

Disposition: Temporary Record. Retain 5 years.

**Facility Maintenance and Upkeep Records**

Disposition: Temporary Record. Retain 10 years.

**Security Desk Monthly Call Transfer Records**

Disposition: Temporary Record. Retain 1 month.

**Visitor/Service Personnel Log-In Sheets**

Disposition: Temporary Record. Retain 6 months.

**Temporary Employee Identification Records**

Disposition: Temporary Record. Retain 1 year.

**SEMIANNUAL INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-81).

**Agency Copies of Transfer of State Property Forms (SD-1)**

Disposition: Temporary Record. Retain 1 year after audit.

**Property Inventory Cards and/or Computer Files**

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the items were removed from inventory.

**Receipts of Responsibility for Property**

Disposition: Temporary Record. Retain until return of item to property manager.

**Weapons Registration Forms (ATF 5 and ATF 10) and Weapon Retirement Forms**

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the weapon was removed from the property inventory.

**Supply/Equipment Registration Forms**

Disposition: Temporary Record. Retain 5 years.

**Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles (including aircraft) owned by the agency**

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.

**Records documenting vehicles acquired through court ordered confiscation**

Disposition: Temporary Record. Retain 1 year after audit after the fiscal year in which the vehicle was removed from the property inventory.

**Tag Applications**

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.

**State Auction Records**

Disposition: Temporary Record. Retain 3 years.



**Vehicle Cost Reports**

Disposition: Temporary Record. Retain 2 years.

**Monthly Fleet Activity Reports**

Disposition: Temporary Record. Retain 2 years.

**Annual/Semi Annual Parts Inventory**

Disposition: Temporary Record. Retain 2 years.

**Records of Underground Storage Tanks**

Disposition: Temporary Record. Retain 5 years.

**Grant Property Records**

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the vehicle was removed from the property inventory.

# **Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)**

## **Requirement**

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Agency as stipulated in this document.

One condition of this authorization is that the Agency submit an annual Records Disposition Authority (RDA) Implementation Report on its activities, including documentation of records destruction, to the State Records Commission.

## **Recommendations**

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program by conducting the following activities:

The Agency should designate a staff member in a managerial position as its records liaison/records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the

office should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the Agency and inspect records destruction documentation. Agency records managers and/or the ADAH archivists are available to instruct the staff in RDA implementation and otherwise assist the Agency in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on May 24, 2017.

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Steve Murray, Chairman  
State Records Commission

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Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

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Hal Taylor, Secretary of Law Enforcement  
Alabama Law Enforcement Agency

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Date